

Electronic Records Archive Project Update

The Office of the State Archivist with assistance from the Information Technology Enterprise has conducted research to determine the scope and objectives for the implementation of an electronic records archive (ERA) for state government records. This document encapsulates the research and observations of the electronic records archive workgroup and provides a high level project plan for the implementation of an ERA.

Definitions

Electronic Records Archive – A repository containing electronic records (i.e. records as defined by state law) that have been transferred to the physical and legal custody of the State Archivist for permanent storage and management. The goal of this project is to establish an electronic records archive.

Electronic Records Repository - A system and/or service that provides for the storage, distribution, and management of a large volume of electronic records with various retention and expiration (i.e. destruction) criteria. This project does not seek to establish an electronic records repository.

Project Objectives

To develop and implement a practical, flexible and scalable solution for an ERA based in institutional best practices that addresses the differences in the State of Iowa's business needs operations, IT infrastructure, and regulatory/legal responsibilities.

Project Objectives

- Identify, appraise, select, and permanently preserve state archives records in electronic form.
- To determine institutional best practices for the permanent archive of electronic records.
- Identify the scope and inventory (number, type, document format, and size) of state agency electronic records having permanent retention requirements.
- Development of metadata requirements for electronic records.
- Identification of relationships among electronic records and their hierarchy, if any.
- Development of criteria for media used to preserve electronic records.
- Methods for Addressing the Obsolescence of Technology (i.e. ensuring records can be accessed with their original content and context for long periods into the future).

Project Description

It is recommended that the State of Iowa hire a qualified, professional consultant knowledgeable in archival policies / procedures and electronic documents / information architecture. The consultant would work with the State Archivist's staff and information technology community in state government to assess and define the requirements for an electronic records archive consistent with the project objectives stated above. The deliverables from such a consultant would consist of:

- A Concept of Operation Plan that subject to acceptance by the IOWAccess Advisory Council.
- Electronic records archive Implementation plan.

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- Projected cost of program & 1st year needs.
- Determine whether the system used should be based on proprietary or non-proprietary products and record formats.
- Determine any changes needed in the Iowa Code or Administrative Rules.
- Guidance on how to handle special needs related to e-mail and other proprietary systems.
- Determine partners in addition to IT.
- Determine the requirements for conformity to standards in the archival and other fields related to electronic records.
- Identify stable revenue streams to maintain the resources necessary to keep the program viable over the long term since the archivist will be assuming the physical and legal custody of electronic records from a number of sources.

The assessment and formulation of an implementation plan may be done through surveys, personal interviews, Requests for Information (RFI), and other means to develop the best solution to the State of Iowa's business requirements. We estimate the cost of a qualified consultant and associated project costs to fully analyze the scope of the ERA at \$50,000.

Project Phases

Planning – Initial research has been conducted by the Office of the State Archivist and the Department of Administrative Services - Information Technology Enterprise under a grant from the IOWAccess Advisory Council. This research has been used to refine the project concept and description and will be used to define the deliverables for the project consultant. Once the consultant has been engaged, the State of Iowa's requirements will be assessed and an ERA architecture and design will be defined.

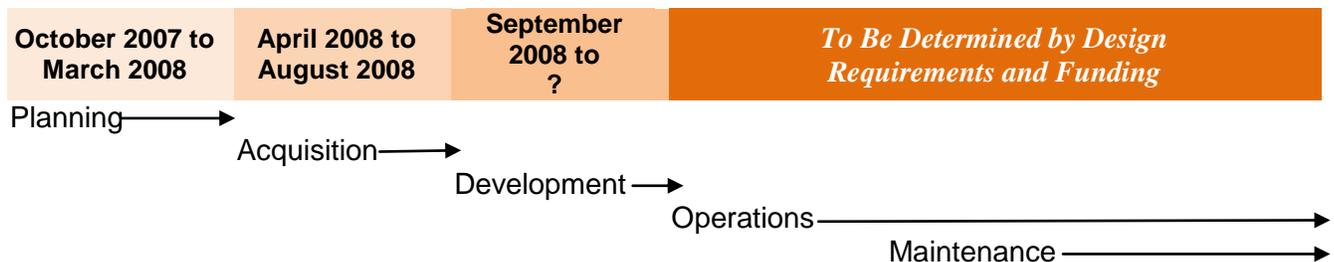
Acquisition – One of the deliverables from the Planning Phase will be a Request for Proposals (RFP) to develop and implement the ERA. This phase will conclude with the award of the RFP.

Development – This phase includes the software development, hardware procurement, and extensive testing of the ERA.

Operations – This phase commences with the operational implementation of the ERA by the State Archivist and operational units throughout state government and will be ongoing.

Maintenance – This phase will commence as required after the ERA becomes operational and will be ongoing.

High Level Project Timeline



Project Points of Contact

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